

HEADQUARTERS
UNITED STATES EUROPEAN COMMAND
APO AE 09128

STAFF MEMORANDUM
NUMBER 5-14

22 January 1997

ADMINISTRATIVE MATTERS

Records Management

1. Summary. This Staff Memorandum (SM):

a. Prescribes policies and responsibilities for the HQ USEUCOM Records Management Program.

b. Describes and assigns reporting requirements.

2. Applicability. This SM applies to all HQ USEUCOM directorates/staff offices, Security Assistance Organizations (SAOs), USEUCOM Logistics Coordination Cells (ULCCs), other assigned activities, and any associated unit under the auspices of USEUCOM.

3. Internal Control Systems. This SM contains internal control provisions and is subject to the requirements of the internal management control program. For HQ USEUCOM and subordinate joint activities, the applicable internal control directive is ED 50-8, Internal Management Control Program.

4. Suggested Improvements. The proponent for this SM is the Administrative Management and Services Branch, Adjutant General Division, Manpower, Personnel and Administration Directorate. Suggested improvements should be forwarded to HQ USEUCOM, ATTN: ECJ1-AAR, Unit 30400, Box 1000, APO AE 09128.

5. References. See Appendix A.

6. Explanation of Terms. See the glossary sections of the following regulations: AR 25-1, AR 25-50, AR 25-400-2, AR 340-21, and DA Pam 25-51.

7. Responsibilities.

a. The Director for Manpower, Personnel and Administration (ECJ1) exercises staff supervision over the USEUCOM Records Management Program to provide for modern, efficient, and systematic life cycle management of all recorded information regardless of media. The Records Management program ensures that information is available in a usable form and official business is documented. It ensures compliance with information access laws and protects both the Government and the individuals' rights and interests.

This Staff Memorandum supersedes SM 5-14, 11 Mar 91.

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b. The USEUCOM Records Manager is responsible for the USEUCOM Records Management Program and will direct and evaluate implementation of the Modern Army Recordkeeping System (MARKS). The program objectives are the cost effective creation of records, retention of permanent records, and prompt disposition of noncurrent records.

c. In Headquarters directorates or staff offices Records Managers will be designated in writing and are responsible for the internal records management programs of their organizations as prescribed in this SM.

d. The records managers at SAOs/ULCCs and special activities will be designated in writing and are responsible for the internal records management programs of their organization as prescribed in this SM.

8. Policy:

a. Administrative Policy.

(1) DoD 5015.2,, Records Management Program, directs establishment of a records management program at unified commands.

(2) DoD Directive 5100.3, Support of the Headquarters of Unified, Specified, and Subordinate Joint Commands, provides that the Department of the Army has "support responsibility" for the U.S. European Command and is the executive agent for USEUCOM. The Army Information Resources Management Program, AR 25-1, applies, except as otherwise noted.

b. Records Management Policy.

(1) Limit the creation of records to those essential for the efficient conduct of official business and establish effective controls over the creation, organization, maintenance, and disposition of those records. Records are accumulated to document official business and will not be destroyed or removed without proper authority. Section 2017, Title 18, United States Code 18 (18 USC 2071) provides penalties for the willful and unlawful destruction or removal of public records.

(2) Acquire, use, and dispose of controlled equipment in a manner that improves efficiency and reduces costs.

(3) Protect personal information from unauthorized usage and disclosure.

c. Training Policy. Modern Army Recordkeeping System (MARKS) training for HQ USEUCOM and field activities consist of an interactive video and workbook course. Training is mandatory for all new administrative support personnel and will commence within 60 days of arrival. Staff assistance or training by the USEUCOM Record Manager is available upon request. Requests for staff assistance visits must be made in writing and funded by the requester if TDY is involved.

d. Program Evaluation Policy.

(1) Records managers at the Headquarters will conduct annual records management surveys of each office of record under their auspices using the checklist provided at Appendix B. The survey will be documented similar to the example at Appendix C, and include findings and recommended corrective actions. Corrective actions will be suspended and tracked until completion. A periodic evaluation of the Headquarters Record Management Programs will be conducted by the USEUCOM Records Manager to determine compliance with prescribed records management policy and procedures. Normally, this evaluation will be conducted once every eighteen months. File surveys will be maintained in file number 25-1g.

(2) Records managers at the SAOs, ULCCs, and special activities will conduct annual surveys of their organizations using the guidelines in paragraph 5(d)(1) above. During the USEUCOM Inspector General inspection, the USEUCOM Records Manager or designated representative will survey all offices of record to ensure compliance with records management policies and procedures. File surveys will be maintained in file number 25-1g.

9. Procedures for Files Management. Records Management includes the life cycle management of information contained in automated and manual information systems to include paper, audio, visual, and image information systems. The MARKS will be used to maintain and manage information.

a. Records are books, papers, maps, photographs, machine-readable items (such as disks, tapes, cards, printouts, aperture cards, roll microfilm, microfiche, laser disk, optical disk, optical card, other optical recording media) film slides, view-graph transparencies, or other documentary materials regardless of physical form or characteristics, made or received by any entity of the Department of Defense as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Department of Defense or because of the informational value of the data in them.

b. The MARKS, AR 25-400-2, provides procedures for systematic identification, maintenance, retirement, and destruction of information. MARKS applies to records as defined below.

(1) All unclassified joint records including **FOR OFFICIAL USE ONLY**.

(2) All classified joint records through SECRET. TOP SECRET records may be arranged using MARKS or in any manner that will make accountability and control easier. Regardless of the arrangement used, the disposition instructions in MARKS will be applied to SECRET and TOP SECRET documents. TOP SECRET records will generally be downgraded to a lower classification prior to retirement, except those in overseas commands and those which are deposited in the U.S. Army Intelligence and Security Command (INSCOM) Records Center. Retirement of TOP SECRET records will be in accordance with AR 380-5.

c. MARKS does not apply to:

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(1) Publications stocks, reference material, and books in library accumulations.

(2) NATO documents. Refer to SM 25-13 for control of NATO material.

(a) In accordance with USSAN Instruction 1-69, NATO documents superseded or no longer needed will be destroyed. It is not necessary to await destruction instructions from the originator. All holders of NATO classified material shall review their holdings at least annually to ensure material is reduced to the maximum extent practicable. Holders shall not permanently retire NATO classified documents. The Central U.S. Registry, Washington, DC, is responsible for maintaining selected NATO documents in a NATO historical file.

(b) NATO documents may be stored in the same approved security container with non-NATO documents provided they are separated by a file divider. Co-mingling of NATO and non-NATO documents in the same file folder is prohibited. No indication as to NATO subject matter will appear on the outside of the container.

d. Files List.

(1) A files list will be used within USEUCOM. At Appendix D is list of recommended file series for use within the headquarters and field activities. Each organization will maintain files created or accumulated as a result of functions described in SM 20-1.

(2) Each organization may select either a centralized or decentralized file system. Some general guidelines to observe follow:

(a) Centralize TOP SECRET and COSMIC files to the maximum extent consistent with operational efficiency.

(b) Decentralize UNCLASSIFIED through SECRET files to the lowest level practicable, normally to those action officers who require access to files on a regular basis.

(3) Each office of record will maintain a files list. See sample file lists at Appendix E. Each files list will contain elements described in a - e below.

(a) The MARKS number for each record series maintained in the office.

(b) The title of each MARKS number on the list and when needed for clarity, a brief description of the actual documents under that number.

(c) The system number for records subject to the Privacy Act (5 U.S.C. 552a).

(d) Identification of media i.e., paper, computer disk, microform, etc.

(e) The disposition.

(4) The files list will be kept current by making changes as file numbers are added or deleted. The records managers at USEUCOM and field activity will review the lists for completeness and accuracy by validating and approving each list after changes. Upon review and approval, the records manager will initial and date the files list in the upper right hand corner.

f. The retention standards within AR 25-400-2 are the only legal authority for destruction of nonpermanent records and the disposition of permanent information. Refer to Chapter 7 for detailed instructions.

g. Labeling.

(1) All file folders and records containers will be labeled. Proper labeling is essential for accurate filing, retrieval, and disposition of records.

(2) Labels will include the file number, file title, disposition instructions, and, where appropriate, the year of accumulation. See sample labels at Appendix F. Refer to AR 310-50 and the glossary of AR 25-400-2 for use of authorized abbreviations.

(3) Position all file labels on the upper left hand corner of folder.

(4) Files retrieved by personal identifier (either in paper form or electronic systems) will include the Privacy Act (PA) systems notice number on the container drawer, the header file, or on the computer disk, Computer system containing PA information not accessed by special codes must include a Privacy Act warning.

h. Disposition Standards.

(1) For most records, the disposition standards in AR 25-400-2 are only the generic retention period (i.e., Destroy after 2 years, Destroy after card is obsolete, etc.). In these cases, use the disposition standards in Table 3-1, to determine and apply the exact cutoff, transfer, retirement, and disposition dates.

(2) For some records, the disposition column also gives specific instructions for cutoff, transfer, retirement, or establishment of inactive files. In these cases, use the specific instructions rather than the disposition standards.

i. Filing Procedures.

(1) Check records received for file to be sure they are complete and to eliminate unnecessary material.

(2) Assemble correspondence for file as shown in AR 25-50.

(3) Mark the file number on correspondence as follows.

(a) Memorandums and endorsements. Type the file number on the document at the time of creation. See AR 25-400-2 for proper placement of the file number.

(b) Letters. The file number will be annotated to the office file copy at the time of filing, not at document creation.

(c) Other categories of documents. The file number may be assigned to all other categories of documents either at the time of document creation or at the time of filing.

(d) Documents received from other offices without a file number will be annotated with the MARKS file number on the right-hand margin.

j. Classified and unclassified records. File classified records separately from unclassified records in approved security containers. An exception to this separate filing rule is authorized when the record of an action (case file) consists of both classified and unclassified records and it is essential for reference purposes that both be filed together. They may be interfiled together in a security container.

k. Files Cutoff.

(1) Files with permanent retention or retention for a specific number of years are cut off at the end of the year in which action was completed. The retention period does not start until the records have been cut off.

(2) Files without cutoffs, i.e., destroy when no longer needed for current operations, are reviewed and destroyed periodically.

1. Arrangement of Files. The filing arrangements described in paragraph 5-9 the glossary of AR 25-400-2 are the only authorized method for use in arranging records within a file number.

m. File Supplies. File supplies include folders, guides, labels, fasteners, binders, label holders, microfiche envelopes, and other microfilm enclosures such as reel containers. Any file supplies normally available from the Federal Supply Schedule and self-service supply office may be used to maintain paper records. HQ USEUCOM will use 8" X 11" and 8" X 14" folders available through the Self-Service Supply Center (SSSC). Records Managers at SAOs and field activities will approve the use of file supplies depending on availability.

n. Accidental Destruction. In case of accidental loss or destruction of records by fire or other cause, the following actions will be taken.

(1) Reconstruct as much of the lost or destroyed records as possible. A series can often be reconstructed from copies of the information maintained in other elements, reading files, or data bases.

(2) Records that cannot be reconstructed will be identified on SF 135. This will be done at the time of retiring records to a Federal Records Center from the same fiscal or calendar year.

o. Records Transfer and Retirement.

(1) Permanent records retired to the Washington National Records Center are offered to the National Archives according to the retention standards in AR 25-400-2. In some instances, collections of historically valuable records may be transferred directly to the National Archives when there is no operational or administrative need for them. When such records have been identified, provide the USEUCOM Records Manager with a detailed description of the records, the file number, the volume in linear feet, and any restrictions on their use. Arrangements will be made to transfer the documents.

(2) Detailed guidance for records retirement is contained in Chapter 9, AR 25-400-2. Generally, the following instructions apply:

(a) Each organization will prepare a Records Transmittal and Receipt, SF 135, for files for retirement. The SF 135 will be reviewed and approved by the USEUCOM Records Manager prior to shipping records. A sample SF 135 is at Appendix G.

(b) Files, either single or mixed series, will not be retired except in full box lots. TOP SECRET files may be retired to the Washington National Records Center or in the case of intelligence records to the U.S. Intelligence Security Command. FOR OFFICIAL USE ONLY (FOUO) records will be treated as, and interfaced with, unclassified files.

(c) Do not transfer or retire records that are subject to the Privacy Act unless they are covered by a systems notice in DA PAM 25-51. Instead, promptly notify the USEUCOM Records Manager for guidance.

(d) Do not transfer or retire records on persons or organizations not affiliated with DOD. Handle any such records in accordance with instructions in AR 380-13.

(e) Do not transfer or retire records that have a disposition of seven years or less. Hold in the current filing area until destruction date.

(3) Retirement of contingency operation records will follow instructions outlined in ED 55-11 or information published by the USEUCOM Record Manager at the termination of the operation.

p. Filing Equipment. Acquire standard GSA filing cabinets in accordance with Common Table of Allowances (CTA) 50-909.

(1) The Records Managers at both the Headquarters and field activities and are delegated the authority to approve requests for additional filing equipment or replacement of damaged or unserviceable equipment.

(2) Funding of filing equipment is the responsibility of the organization requesting the equipment.

(3) To minimize excessive demand for all categories of filing containers, each organization will:

(a) Promptly turn in excessive filing equipment when no longer required.

(b) Regularly dispose of files in accordance with approved disposition standards in AR 25-400-2.

10. Procedures for Duplicate Emergency File Program (DEFP).

a. General. The purpose of establishing a Duplicate Emergency Files Program is to ensure the survivability of documents required by HQ USEUCOM for essential operations under national emergency and to have enough documents available to plan for and implement reconstitution of the command once the situation has stabilized. The objectives of the DEFP are:

(1) Create and maintain current duplicate files at designated sites to support emergency actions and functions.

(2) Provide one complete set of reconstitution files for USEUCOM emergency operating files.

(3) Standardize duplicate files material selection, distribution, storage, filing, safeguarding, and inventory.

(4) Facilitate the use of technology for accounting, inventory review, retrieval, and display of duplicate emergency files material.

b. Duplicate Emergency Files Material. These files consist of copies of reference and record material, in any form, for use at alternate sites to allow for continuity of operations during emergencies and reconstitution if primary files are lost. Each organization must determine its own needs and priorities. In general, this file material should include, but is not limited to:

(1) Operational and mobilization plans.

(2) Emergency action procedures.

(3) Instruction and reference documents.

(4) Mission and policy statements and Standing Operating Procedures (SOPs) pertaining to critical functions.

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- (5) Maps, blue prints, and charts.
- (6) ADP files and documentation.
- (7) Documents cited in Chapter II, USCINCEUR OPLAN 4312, Part II.

c. Basic policy and procedures are contained in AR 340-26.

d. For the purpose of planning for off-site storage of DEFP materials each directorate/staff office will:

(1) Review its organizations and functions and, in particular, actions concerning peacetime to wartime transition.

(2) Identify those minimum essential materials necessary to carry out emergency/reconstitution functions.

(3) Prepare duplicate copies of DEFP material and store, on site, separate from primary files. Storage by directorate and staff offices should be centralized if possible. Clearly identify all materials as DEFP files in accordance with MARKS.

(4) Prepare unclassified accountability and inventory for the following data: directorate/staff office point of contact, grade, and telephone number, short title (unclassified), special handling required/media and volume.

(5) Update DEFP materials no later than March annually and provide a revised master inventory to the USEUCOM Records Manager.

11. Exceptions to Policies. The MARKS, AR 25-400-2 may not address all joint record management requirements or needs. Deviation from disposition instructions may be requested as stated in Change 1 to AR 25-400-2, paragraph 7-4. Joint records which are not identified in MARKS will be reported by memorandum to the USEUCOM Records Manager for establishment of a file number. Other exceptions not addressed by AR 25-400-2 or this SM can be submitted in writing to the USEUCOM Records Manager for consideration.

FOR THE COMMANDER IN CHIEF:

OFFICIAL:

DAVID L. BENTON III
Lieutenant General, USA
Chief of Staff

SUSAN M. MEYER
LTC, USA
Adjutant General

7 Appendices

- A References
- B Record Management Survey Checklist
- C Sample Record Management Survey
- D Recommended Files Series
- E Sample Files List
- F Sample Files Labels
- G Sample SF 135, Records Transmittal and Receipt

DISTRIBUTION:

A

Appendix A

References

- A-1. DoD Directive 5015.2, Records Management Program.
- A-2. DoD Directive 5100.3, Support of the Headquarters of Unified, Specified and Subordinate Joint Commands
- A-3. DoD Directive 5100.55, United States Security Authority for North Atlantic Treaty Organization Affairs
- A-4. DoD Directive 5132.3, Department of Defense Policy and Responsibilities Relating to Security Assistance.
- A-5. DoD Directive 5200.1-R, DoD Information Security Program.
- A-6. AR 25-1. The Army Information Resources Management Program.
- A-7. AR 25-50, Preparing and Managing Correspondence.
- A-8. AR 25-400-2, The Modern Army Recordkeeping System (MARKS).
- A-9. AR 310-50, Authorized Abbreviations and Brevity Codes.
- A-10. AR 340-21, The Army Privacy Program.
- A-11. AR 340-26, Duplicate Emergency Files Program.
- A-12. AR 380-5, Department of the Army Information Security Program.
- A-13. AR 380-13, Acquisition and Storage of Information concerning Nonaffiliated Persons and Organizations.
- A-14. DA 25-51, The Army Privacy Program-System Notices and Exemption Rules

Appendix A (cont'd)

- A-15. CTA 50-909, Field and Garrison Furnishings and Equipment.
- A-16. USEUCOM Directive 20-1, HQ USEUCOM Organization and Functions.
- A-17. USEUCOM Directive 50-2, Administration and Control of Financial Resources.
- A-18. USEUCOM Directive 55-11, Joint Task Force Headquarters Policies, Procedures and Organization
- A-19. USEUCOM Directive 90-6, Administration of Security Assistance Organizations/Offices (SAO).
- A-20. USEUCOM SM 25-13, Control of NATO Classified Material.
- A-21. USEUCOM Sup 1 to DoD 5200.1R
- A-22. USSAN (U.S. Security Authority for NATO Affairs) Instruction 1-69, Promulgated by DoD Instruction (C-5210.21).

Appendix B

Records Management Survey Checklist

1. Does the organization originate, maintain, destroy information IAW AR 25-400-2, The Modern Army Record Keeping System (MARKS) and SM 5-14, Records Management?
2. Has the Organizational Chief designated a Records Manager (RM) for their organization?
3. Does the RM perform and document annual records management surveys of organization offices that maintained records?
4. Does the RM provide recommended corrective actions to deficiencies listed in the annual records management surveys?
5. Does RM follow-up to ensure corrective action is implemented?
6. Does the RM review files lists for completeness and accuracy, validate, and initial and date each list after changes?
7. Do files' lists contain the MARKS number for each record series maintained in the office, description, the PA System Notice from DA Pam 25-51, media identification (paper, tape, computer disk, microform) and disposition under that number?
8. Are personnel within the organization aware that MARKS contains the only legal authority for the destruction of nonpermanent Army records?
9. Does the your organization provide training to personnel on policies, responsibilities, and techniques for record keeping requirements?
10. Does the organization have a set of training videos provided by ECJ1-A? Are they used for newcomer and refresher training?
11. Do file folder labels contain the file number, file title, disposition instructions, and where appropriate, the year of accumulation or creation?

Appendix B (cont'd)

12. Do all "lead" folder labels or "dummy" folder labels contain the four elements (cited above) on file labels?

13. Are disposition standards in AR 25-400-2, Table 3-1, used to determine and apply the exact cutoff, transfer, retirement, and disposition dates; i.e., are fiscal year files cutoff 30 Sep, are calendar year files cutoff 31 Dec, etc?

14. Are letters, other categories of documents, and non-paper documents received from offices without MARKS file numbers "annotated" with the MARKS file number on the right hand margin at the time of filing?

15. Do file drawer labels accurately reflect the drawer contents?

16. Are records series with annual accumulation periods (calendar or fiscal year) removed from the active file at cutoff and placed in the inactive file; and, are lead and/or "dummy" folders transferred to the inactive file with the records?

17. Are records series in the inactive file destroyed promptly in accordance with specific disposition instructions?

18. Are records series with a disposition of "destroy when superseded or obsolete" periodically screened to ensure currency?

19. When transferring records to a records holding area or retiring records to a federal records center, is the SF 135 and SF 135A prepared in accordance with MARKS?

Appendix CSample Record Management Survey

ECJ1-AR (25-1g)

Date

MEMORANDUM FOR OFFICE SURVEYED

SUBJECT: Annual Record Management Survey

1. A record management survey was conducted on **date** using the Record Management Survey Checklist in SM 5-14. The following deficiencies were noted:

a. Record Manager for the organization not designated in writing.

b. Files list did not contain disposition for the file numbers.

c. Inactive files were intermingled with active files. File with specific cutoffs were not be cutoff and moved to the inactive files.

d. File labels did not have the year annotated to files with specific cutoffs.

e. File drawers were not accurately labeled to reflect contents inside the file drawers.

2. Please correct all discrepancies noted by **date** (two weeks should be plenty of time). If you have any question on the findings in paragraph 1, you can reach me at 430-XXXX. A followup survey is scheduled for **date**.

SIGNATURE BLOCK

Appendix D**Recommended Files Numbers**

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
Files series used by all offices and field activities	1	Administration
	5	Management
	10	Organization and Functions
	15	Boards, Commissions, and Committees
	20	Inspections and Investigations
	25	Information Mgt
	37	Financial Adm
	105	Comm - Electronics
	108	Audiovisual Svs
	310	Military Pubs
	340	Office Management
	351	Schools
	360	Army Information
	380	Security
	500	Emergency Employment

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	600	Personnel - General
	604	Personnel Security
	611	Personnel Selection and Classification
	690	Civilian Personnel
ECDC, ECCS, ECJS, ECPLD	380-10d	Foreign National Visits
	380-10g	Foreign National Protocol Files
	600-25b	U.S. Visitor Files
	840	Heraldic Activities
	870	Historical Activities
ECIG	20	Assistance/Inspection/ Investigations/Follow-up
ECJ1	65	Postal Service
	66	Courier Service
	140	U.S. Army Reserve
	190	Military Police
	210	Installations

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	220	Field Organizations
	350	Training
	381	Military Intel
	525	Military Operations
	530	Operations and Signal Security
	570	Manpower and Equipment Control
	601	Personnel Procurement
	608	Personal Affairs
	621	Education
	612	Personnel Processing
	614	Assignments, Details and Transfers
	623	Personnel Evaluation
	630	Personnel Absences
	640	Personnel Records and Identification
	672	Decorations, Awards, and Honors

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	680	Personnel Info Sys
	700	Logistics
	840	Heraldic Activities
	930	Svs Organizations
ECJ2	115	Climatic/Hydrological Topographic Services
	381	Military Intel
	525	Military Operations
	530	Operations and Signal Security
ECJ3	50	Nuclear and Chemical Weapons and Materiel
	95	Aviation
	115	Climatic/Hydrological/ Topographic Services
	350	Training
	525	Military Operations
	530	Operations and Signal Security
	550	Foreign Countries and Nationals

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	870	Historical
		Activities
ECJ4	12	Security Assistance
	34	Standardization
	50	Nuclear and Chemical Weapons and Materiel
	59	Air Transportation
	405	Real Estate
	415	Construction
	525	Military Operations
	700	Logistics
	703	Petroleum and Solid Fuels Management
	725	Requisition and Issue of Supplies and Equipment
	735	Property Accountability
	755	Disposal of Supplies and Equipment
ECJ5	50	Nuclear and Chemical Weapons and Materiel
	350	Training

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	360	Army Information
	381	Military Intelligence
	525	Military Operations
	550	Foreign Countries and Nationals
	700	Logistics
ECJ6	18	Army Automation
	25	Information Mgt
	34	Standardization
	350	Training
	525	Military Operations
	530	Operations and Signal Security
	550	Foreign Countries and Nationals
	715	Procurement
ECSO	350	Training
	351	Schools
	381	Military Intel
	525	Military Operations

Appendix D (cont'd)

<u>Office of-Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	530	Operations and Signal Security
	570	Manpower and Equipment Control
	700	Logistics
	870	Historical Activities
ECPA	360	Army Information
	381	Military Intelligence
ECLA	27	Legal Service
	360	Army Information
	550	Foreign Countries and Nationals
ECCM	11	Internal Control system
	12	Security Assistance
	210	Installations
	335	Management Information Control
	525	Military Operations

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
ECCH	40	Medical Services
	165	Religious Activities
	215	Morale, Welfare, and Recreation
	315	Schools
	360	Army Information
	525	Military operations
	608	Personal Affairs
ECMD	34	Standardization
	40	Medical Services
	350	Training
	381	Military Intelligence
	415	Construction
	420	Facility Engineers
	525	Military Operations
	550	Foreign countries and Nationals
	700	Logistics

Appendix D (cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	740	Storage and Supply Activities
Field Activities	11	Army Programs
	12	Security Assistance
	18	Army Automation
	34	Standardization
	40	Medical Services
	50	Nuclear and Chemical Weapons and Materiel
	55	Transportation and Travel
	58	Motor Transportation
	65	Postal Service
	66	Courier Service
	70	Research, Development, and Acquisition
	190	Military Police
	210	Installations

Appendix D(cont'd)

<u>Office of Record</u>	<u>MARKS Series</u>	<u>Titles</u>
	215	Morale, Welfare, and Recreation
	350	Training
	525	Military Operations
Signal	530	Operations and Security
and	550	Foreign Countries Nationals
ment	570	Manpower and Equipment Control
	623	Personnel Evaluation
	630	Personnel Absences
and	640	Personnel Records Identification
and	672	Decorations, Awards, Honors
and	755	Disposal of Supplies Equipment

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Appendix E

Sample Files List

<u>MARKS</u>	<u>TITLE/PA NOTICE</u>	<u>DESCRIPTION</u>	<u>DISPOSITION</u>	<u>MEDIA</u>
la sup	Ofc file numbers Paper		Appvd file lists	Dest when
lc insp	Ofc insp & surveys Paper	Insp & surv doc		Dest after next comp surv or
li Paper	Ofc class doc receipts	Clas doc receipt	2 yrs	
lhh Paper	Ofc temp duty trvl A0037-107bSAFM	Req & auth for TDY	1 yr	
lii of Paper	Ofc mil persl files A0001bTAPC	Internal 201 file		Dest 1 yr after trnsfr or sep indiv
5 Paper	Gen mgt corresp	Misc ref or		Action: 2 yrs action items NA:
Dest when 25 NLN	NLN Gen info mgt Paper corresp files	Misc ref or action items		Action: 2 yrs Info: Dest when
25-1d appt Paper	IM designations/ appt A0001DAPE	Appt/design ltrs		Dest 1 yr after termination of
25-30q sup Paper	Dectrlzed instr	Directves/instruc		Perm PIF on

	bkgrd files		on obs
25-30zz	Office copier files	Office copiers info	Dest on
disposal of	Paper		eqpmt
25-55b	FOIA admin files	FOIA Info	Dest after 2
yrs	Paper		

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Appendix E (Con't)

Sample Files List

<u>MARKS</u>	<u>TITLE/PA NOTICE</u>	<u>DESCRIPTION</u>	<u>DISPOSITION</u>
<u>MEDIA</u>			
25-400-2a	Recd locator/disp Paper files	SF 135 and similiar info on trnf recds	See AR-25-400-2
350-37a	Indv trng files/ Paper AO350-37TRADOC/ OPM/GOVT 1	Info on indv tng status	Multi-standard See AR-25-400-2
380	Gen Security Paper Corresp	Misc ref or action items	Action: 2 yrs Info: Dest when
NLN			
380-5a	Sec briefings/debrf Paper A0380-67DAMI	Brief/def stmt	Dest 2 yrs trsf/sep of
indiv			
380-5w	Security regrading Paper cases	Info on review of class mat/equip	OPR: Dest 15yrs Others: Dest 3
yrs			
380-5aa	TOP SECRET material	Info on document	Multi-standard;
See	Paper		

	accountability/ AO101-20DAMI	accountability	AR-25-400-2
525 2yrs NLN	Gen mil ops corresp Paper files	Misc ref or action	Action: Dest Info: Dest when
525a	Command reports Paper	Cmd rpts	Multi-standard; See AR 25-400-2
525n Perm/PIF	Operations planning Paper on sups	Ops plans	Action:
550-51a term	Intrntl treaties Paper	Info on mil treaties	Perm. PIF on agreements
570-4c Paper	Manpower Auth	Support documents	Dest when NLN
E-2			
22 Jan 97 14			SM 5-

Appendix E (Con't)

Sample Files List

<u>MARKS</u>	<u>TITLE/PA NOTICE</u>	<u>DESCRIPTION</u>	<u>DISPOSITION</u>
<u>MEDIA</u>			
600 yrs NLN	Gen persnl corresp Paper	Misc ref or action	Action: Dest 2 Info: Dest when
600-200d	Promotion eligblty Paper determinations/ A0600-200TAPC	Determination docs on indiv	Dest 1 yr
623 yrs Dest	Gen persnl eval Paper corresp file	Misc ref or action	Action: Dest 2 Info:
when NLN			

672-5-1b Mil awd cases Recommendations, Dest: 2 yrs
Paper

reviews, approval/
disapprl of military
awards

710-2c Hand receipt files Hand receipts Dest on turn-in
Paper A0710-2bDALO of
prop or
other compl acc

E-3

SM 5-14

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Appendix F

SAMPLE FILE LABELS

File labels will include the file number, file title, Privacy Act System notice number (if applicable), and the disposition instructions. Include the year of accumulation when a file is cut off after a time period. Do not include the year on a file with an event disposition or on the "ACTIVE" folder of a time-event file. For specific guidance refer to AR 25-400-2, chapter 6, 7, and appendix B.

1a - Office Files Numbers

Dest when supsd

File with no cutoff.

*Destroy individual record
when superseded.*

1x - Office Civilian (97)
Personnel Time and
Attendance File
PA Sys A0037-105aSAFM
COFF: 30 Jun 97
Dest: Jan 98

File with 6 month cutoff.
*Cutoff and destruction identified.
Year of accumulation and PA System
notice required on this file.*

1x- Office Civilian (97)
Personnel Time and
Attendance File
PA Sys A0037-105aSAFM
COFF: 31 Dec 97
Dest: Jul 98

Same as above. *Second file
for the fiscal year.*

1hh - Office Temporary (FY97)
Duty Files
PA Sys A0037-107bSAFM
COFF: 30 Sep 97
Dest: Oct 98

Fiscal year file. *Disposi-
tion is 1 year. Cutoff and de-
struction identified. Year of
accumulation and PA system notice
required on this file.*

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22 Jan 97

SM 5-14

Appendix F (cont'd)

SAMPLE FILE LABELS

1nn - Office Message (97)
Reference
COFF: 31 Dec 97
Dest: Jan 99

File with 1 year cutoff.
*Cutoff and dstruction identified.
Year of accumulation required.*

1-1c - Annual Funding (FY97)
Program
COFF: 30 Sep 97, Trf RHA Oct
99, Dest Jan 04

Fiscal year file.
*Disposition is 6 years and 3 mths.
Cutoff, transfer and destruction
information identified in accord-
ance with AR 25-400-2,Table 7-1.
Year of accumulation is required.*

25 - General Info Mgt (97)
Corresp Files

ACTION:
COFF: 31 Dec 97
Dest: Jan 00

Action Files. Disposition is 2 years. Cutoff and destruction identified. Year of accumulation is required.

25 - General Info Mgt Corresp
Files

NONACTION
Destroy when NLN for current
ops

Nonaction files. No year of accumulation. Files must be reviewed for obsolete information annually, at a minimum.

SM 5-14

F-2

22 Jan 97

Appendix F(cont'd)

SAMPLE FILE LABELS

380-5b - Security Inspections/
Surveys

Destroy after next comparable
inspection or survey

Event disposition file.
Records destroy upon completion of next comparable inspection or survey.

380-5w - Security (97)
Regrading Cases

COFF 31 Dec 97, Trf RHA Jan
00, Ret WNRC Jan 01, Dest Jan
13

File with 15 year disposition. Year of accumulation required. Cutoff, transfer and destruction information is in AR 25-400-2, table 7-1.

525n - Operations Planning
Files

ACTIVE

PERMANENT. PIF on sups or obs
and cutoff at the end of that
year

Active Permanent File.

*Place in an inactive file when
superseded or obsolete and cutoff
at the end of that year.*

525n - Operations (97)
Planning Files

INACTIVE

COFF 31 Dec 97, Trf RHA Jan
00, Ret WNRC Jan 01, PERM

Inactive Permanent File.

*Year of accumulation required.
Cutoff, transfer and destruction
information is in AR 25-400-2,
table 7-1.*

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22 Jan 97

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Appendix F (cont'd)
DUMMY FOLDERS LABELS

Dummy Folders

-- If there are several folders under one number, only the label on the first folder of the series must show all of the required label information. Labels on the other folders under that same file number will show the file number, a brief identification of material in the folder, and year if applicable. A "dummy" folder (secured shut) or guide card with a label containing required label entries may also be used.

ACTIVE

1ii - Office Mil Personnel
Files
PA Sys A0001bTAPC
ACTIVE
PIF after tranfers or sep of
the individual

1ii - Shue, Jim

1ii - Doe, John A.

1ii - Doe, Jane A.

INACTIVE

1ii - Office Military (97)
Personnel Files
PA Sys AO640-10cTAPC
INACTIVE
COFF: 31 Dec 97
Dest: Jan 99

1ii - Walker, Annette P.

1ii - Jones, Rogers L.

1ii - Adams, Joe C.

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Appendix G

SAMPLE STANDARD FORM 135

**USE PERFORM PRO FILLER
TO PULL UP ATTACHMENT**

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